



2164
100/004
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231 on August 27, 2001.

Scot A. Reader

Applicant : Scot A. Reader
Application No. : 09/874,870
Filed : June 5, 2001
Title : METHOD AND APPARATUS FOR VALUING PATENT ASSETS
Grp./Div. : 2164
Examiner : Not yet assigned
Docket No. : 100/004

RECEIVED
SEP 04 2001
Technology Center 2100

#2
PH
11-13-01

INFORMATION DISCLOSURE STATEMENT
37 CFR § 1.97(b)

Assistant Commissioner for Patents
Washington, D.C. 20231

3424 Woodcliff Road
Sherman Oaks, CA 91403
August 27, 2001

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO-1449 listing the references that are known to applicant. Copies of each of the listed references are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO-1449 be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,

By

Scot A. Reader
Reg. No. 39,002
818.788.6503

Enclosures: PTO-1449, w/references

AUG 30 2001

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Attorney Docket Number

100/004

Application Number

09/874,870

Filing Date

June 5, 2001

Applicant(s)

Scot A. Reader

Group Art Unit

2164

Examiner Name

Not yet assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

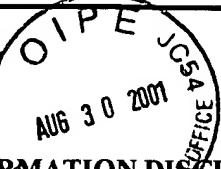
EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS

EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	KEVIN G. RIVETTE & DAVID KLINE, "Discovering New Value in Intellectual Property," Harvard Business Review Reprint R00109 (Jan.-Feb. 2000) "Introducing ... TAEUSWorks(SM)," www.tacus.com/docs/04-01-tacusworks.html (Apr. 2001)

EXAMINER SIGNATURE	DATE CONSIDERED
--------------------	--------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.
Include copy of this form with next communication to applicant.



**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Attorney Docket Number

100/004

Application Number

09/874,870

Filing Date

June 5, 2001

Applicant(s)

Scot A. Reader

Group Art Unit

2164

Examiner Name

Not yet assigned

RECEIVED
SEP 04 2001
Technology Center 2100

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS

EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	GREGORY J. BATTERSBY & CHARLES L. GRIMES, Licensing Royalty Rates 2001 Ed., 1-19 (2001) University of Texas Law School Fifth Annual Adv. Patent Law Institute, Seminar Materials for IP Valuations Panel Discussion, David McCombs, Moderator, 44 pages (Nov. 2000)
	NICK BERTOLOTTI, "Valuing Intellectual Property," Managing Intellectual Property 28-32 (Feb. 1995)
	RICHARD A. NEIFELD, "A Macro-Economic Model Providing Patent Valuation and Patent Based Company Financial Indicators," 83 J.P.T.O.S. 211-22 (Mar. 2001)
	RICHARD A. NEIFELD, "A Macro-Economic Model Providing Patent Valuation and Patent Based Company Financial Indicators," www.patentvaluepredictor.com/publ_30apr2001_article.asp (Apr. 30, 2001)
	GORDON V. SMITH & RUSSELL L. PARR, Valuation of Intellectual Property and Intangible Assets, 3d Ed., 333-83 (2000)
	MELVIN SIMENSKY & LANNING G. BREYER, The New Role of Intellectual Property in Commercial Transactions: Recent Trends in the Valuation, Exploitation and Protection of Intellectual Property, 58-61 (1994)
	ROBERT PITKETHLY, "The Valuation of Patents: A Review of Patent Valuation Methods with Consideration of Option Based Methods and the Potential for Further Research," Judge Institute Working Paper WP 21/97 (March 1997)

EXAMINER SIGNATURE	DATE CONSIDERED
--------------------	--------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.